

PTO/SB/28 (05-03)

Approved for use through 04/03/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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CONTINUED PROSECUTION APPLICATION (CPA)  
REQUEST TRANSMITTALSubmit an original, and a duplicate for fee processing  
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))CHECK BOX, if applicable:  
 DUPLICATE

Address to:	Attorney Docket No. of Prior Application	2002576-0001
Mail Stop CPA Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450	First Named Inventor	Rene Robert
	Examiner Name	R. Weisberger
	Art Unit	3624
	Express Mail Label No.	via facsimile

This is a request for a  continuation or  Divisional application under 37 CFR 1.53(d),  
(continued prosecution application (CPA)) of prior application number 09 / 494,799  
filled on Jan. 31, 2000, entitled System for Access to and Exchange of Market Data

NOTES

**Filing Qualifications:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.52(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**CPA NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- Enter the unentered amendment previously filed on \_\_\_\_\_  
Under 37 CFR 1.116 in the prior nonprovisional application.
- A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventor(s) named in the prior application, 37 CFR 1.53(d)(4).
  - DELETE** the following inventor(s) named in the prior nonprovisional application:  
\_\_\_\_\_  
b.  The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed:
  - PTO-1449
  - Copies of IDS Citations

Page 1 of 2

This collection of information is required by 37 CFR 1.53(d). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 24 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop CPA, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

05/19/2003 SWILLIAM 00000003 031721 09494799  
01 FC:2008 260.00 CH  
02 FC:2002

PTO/SB/29 (05-03)

Approved for use through 04/30/2003. OMB 0651-0632  
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CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(6) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) OR (i))	-20* = 24	4	X \$ 9 =	\$ 36
	INDEPENDENT CLAIMS (37 CFR 1.16(b) OR (i))	-3** = 2	0	X \$ 42 =	0
	MULTIPLE DEPENDENT CLAIMS (If applicable) (37 CFR 1.16(d))			X \$ - =	0
				BASIC FEE (37 CFR 1.16)	375
				Total of above Calculations=	411
	Reduction by 50% for filing by small entity (Note 37 CFR 1.27).				411
	* Reissue claims in excess of 20 end over original patent. ** Reissue independent claims over original patent.			TOTAL =	
6. <input checked="" type="checkbox"/>	Small entity status: Applicant claims small entity status. See 37 CFR 1.27.				
7.	The Director is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 03-1721:				
a. <input checked="" type="checkbox"/>	Fees required under 37 CFR 1.16.				
b. <input checked="" type="checkbox"/>	Fees required under 37 CFR 1.17.				
c. <input type="checkbox"/>	Fees required under 37 CFR 1.18.				
8.	<input type="checkbox"/> A check in the amount of \$ _____ is enclosed.				
9.	<input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.				
10.	<input checked="" type="checkbox"/> Applicant requests suspension of action under 37 CFR 1.103(b) for a period of <u>3</u> months (not to exceed 3 months) and the fee under 37 CFR 1.17(f) is enclosed.				
11.	<input type="checkbox"/> New Attorney Docket Number, if desired _____ (Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.)				
12. a. <input checked="" type="checkbox"/>	Receipt For Facsimile Transmitted CPA (PTO/SB/28A)				
12. b. <input type="checkbox"/>	Return Receipt Postcard (Should be specifically itemized, See MPEP 503)				
13. <input type="checkbox"/>	Other: _____				

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## 14. NEW CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label		<input type="checkbox"/> New correspondence address below
24280 PATENT TRADEMARK OFFICE		
Name		
Address		
City		
Country		

## 15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print Type)	Elizabeth E. Nugent
Signature	
Registration No. (Attorney Agent)	43,839
Date	May 5, 2003

PTO/SB/28A (05-03)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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If this RECEIPT is included with a request for a CPA filed by facsimile transmission, it will be date stamped and mailed to the ADDRESS in Item 1.

1. ADDRESS      Applicant's Mailing Address for this receipt must be CLEARLY PRINTED or TYPED in the box below.

Patent Department  
Choate Hall & Stewart  
53 State Street  
Boston, Massachusetts 02109

**NOTE:** By this receipt, the PTO (a) acknowledges that a request for a CPA was filed by facsimile transmission on the date stamped below by the PTO and (b) verifies only that the application number provided by the applicant on this receipt is the same as the application number provided on the accompanying request for a CPA. This receipt CANNOT be used to acknowledge receipt of any paper(s) other than the request for a CPA.

**2. APPLICATION IDENTIFICATION:**

(Provide at least enough information to identify the application)

a. For prior application

Application No: ..... 09/494,799  
Filing Date: ..... January 31, 2000  
Title: ..... System for Access to and Exchange of Market Data  
Attorney Docket No: ..... 20025.76-0001  
First Named Inventor: ..... Rene Robert

b. For instant CPA application

New Attorney Docket No: .....  
(If applicable)

The PTO date stamp, which appears in the box to the right, is an acknowledgement by the PTO of receipt of a request for a CPA filed by facsimile transmission on the date indicated below.

(THIS AREA FOR PTO DATE STAMP USE)

PTO HANDLING INSTRUCTIONS:

Please stamp area to the right with the date the complete transmission of the request for a CPA was received in the PTO and also include the PTO organization name that provided the date stamp (stamp may include both items). Verify that the application number provided by applicant on this receipt is the same as the application number provided by applicant on the request for a CPA accompanying this receipt. If there is an inconsistency between the application number provided on this receipt and the request for a CPA, strike through the inconsistent application number provided on this receipt and insert the correct application number, if possible. Then place in a window envelope and mail.

This collection of information is required by 37 CFR 1.6. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 24 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**TRANSMITTAL SHEET**

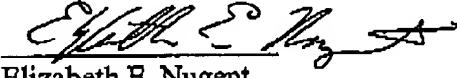
Number of pages being sent 4 (including this page)

**DATE:** May 5, 2003

Recipient	Company	Fax No.	Phone No.
1. Examiner Weisberger	USPTO, Art Unit 3624	703-872-9302	703-308-4408
<b>FROM:</b>	Elizabeth E. Nugent	FAX RECEIVED	
<b>DIRECT DIAL:</b>	(617) 248-4051	MAY 09 2003	

**CERTIFICATE OF FACSIMILE**

I hereby certify that this correspondence is being faxed to the Commissioner for Patents at the above number on May 5, 2003.

  
 Elizabeth E. Nugent

1. Continued Prosecution Application (CPA) Request Transmittal
2. Receipt for Facsimile Transmitted CPA

**TIME SENT:** \_\_\_\_\_ **OPERATOR:** \_\_\_\_\_ **CLIENT NO.** 2002576-0001

Return by: Inter-office Mail \_\_\_\_\_ Hold for pick-up \_\_\_\_\_

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